


<b>TRANSMITTAL LETTER OF THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		Attorney Docket No. <b>8002-1001</b> U.S. Application No. <b>10/070249</b>
INTERNATIONAL APPLN. NO. <b>PCT/JP00/05561</b>	INTERNATIONAL FILING DATE <b>18 AUGUST 2000</b>	PRIORITY DATE CLAIMED <b>3 SEPTEMBER 1999</b>
<b>TITLE OF INVENTION: PROCESS FOR THE PREPARATION OF TRICYCLIC AMINO ALCOHOL DERIVATIVES</b>		
<b>APPLICANT(S) FOR DE/EO/US: KOKI MATSUBARA, NAOYUKI ISHII AND MASAMI OGAWA</b>		
Applicant herewith submits to the United States Designated Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau)</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. See attached PCT/IB/308.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2))           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made, however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>		
<b>Items 11 to 20 below concern document(s) or information included:</b>		
<ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS) w/PTO-1449 - <input type="checkbox"/> Copy of IDS citations</li> <li>12. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</li> <li>13. <input checked="" type="checkbox"/> A <b>FIRST</b> Preliminary Amendment.</li> <li>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> Preliminary Amendment.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application (35 U.S.C. 154(d)(4)).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: Application Data Sheet, Abstract on a separate sheet, PCT Request (PCT/RO/101), form PCT/IB/308, Cover pages of International Publication No. WO 01/17962, form PCT/IPEA/409</li> </ol>		

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U.S. APPLICATION NO. <b>10/070249</b>		INTERNATIONAL APPLN. NO. PCT/JP00/05561		ATTORNEY DOCKET NO. 8002-1001	
21. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492 (a) (1)-(5):					
Neither international preliminary examination fee nor international search fee paid to USPTO and international Search Report not prepared by the EPO or JPO .....\$1040.00					
International preliminary examination fee not paid to USPTO but International Search Report prepared by the EPO or JPO .....\$890.00					
International preliminary examination fee not paid to USPTO but International search fee paid to USPTO .....\$740.00					
International preliminary examination fee paid to USPTO but all claims did not satisfy provision of PCT Article 33 (1)-(4) .....\$710.00					
International preliminary examination fee paid to USPTO and all claims satisfied provision of PCT Article 33 (1)-(4) .....\$100.00					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT</b>					
Surcharge of \$130.00 for furnishing the oath or declaration than <input type="checkbox"/> 20- <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(e))				\$ 890.00	
				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	12 - 20 =	0	X \$18.00	\$	
Independent Claims	10 - 3 =	7	X \$84.00	\$ 588.00	
			+ \$280.00	\$	
MULTIPLE DEPEND CLAIM(S) (if applicable)					
<b>TOTAL OF ABOVE CALCULATION -</b>				<b>\$ 1,478.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
<b>SUBTOTAL =</b>				<b>\$ 1,478.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492Z(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 1,478.00</b>	
Fee for recording the enclosed assigned (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40.00 per property +				\$ 40.00	
<b>TOTAL FEES ENCLOSED -</b>				<b>\$ 1,518.00</b>	
				Amount to be refunded: \$	
				Charged: \$	
<input checked="" type="checkbox"/> A Check in the amount of <b>\$1,518.00</b> to cover all fees is attached.					
<input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit account No. 25-0120 in the name of Young & Thompson, as described below. A duplicate copy of this sheet is enclosed.					
<input checked="" type="checkbox"/> The Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 25-0120 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17.					
SEND ALL CORRESPONDENCE TO: 745 South 23 <sup>rd</sup> Street Arlington, VA 22202 Telephone (703) 521-2297 Y&T Customer No. 000466				SIGNATURE <u><i>Benoit Castel</i></u> Benoit Castel NAME 35,041 REGISTRATION NO.	
BC/lmt Date: <b>4 March 2002</b>				 <b>00466</b> <small>PATENT TRADEMARK OFFICE</small>	

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PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

03/11/2002 MALI11 00000015 10070249

01 FC:970 890.00 OP  
02 FC:964 588.00 OP

03/11/2002 MALI11 00000015 10070249

04 FC:198 60.00 OP

Adjustment dates: 05/07/2002 BCAMPBEL  
03/11/2002 MALI11 00000015 10070249  
04 FC:198 -60.00 OP

Repln. Ref: 05/07/2002 BCAMPBEL 0011562300  
Date: 250120 Name/Number: 10070249  
FC: PTO-1556 \$60.00 CR

(5/87)